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PATENT

Docket No. 10392/46701

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GROUP 2700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Steven M.H. WALLMAN—
Serial No. : 09/516,792—
Filed : March 1, 2000—
For : METHOD AND APPARATUS FOR TRADING—
SECURITIES OR OTHER INSTRUMENTS ON —
BEHALF OF CUSTOMERS —
Group Art Unit : 2768

ASSISTANT COMMISSIONER
FOR PATENTS
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97 & § 1.98

SIR:

In accordance with Applicants' duty of disclosure under 37 C.F.R. § 1.56(a) and § 1.97(b) (3), the references listed on the attached form PTO-1449 are hereby brought to the Examiner's attention.

Since all the references are in the English language, no statement of relevancy is required. A copy of each cited reference is also enclosed.

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear in the "references cited" on any patent to issue therefrom.

Respectfully submitted,

KENYON & KENYON


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Date: June 28, 2000

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